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Artificial Intelligence Summit Virtual 2025

Agentic AI is reshaping how Registered Investment Advisors (RIAs) operate, and those who harness it are gaining a serious competitive edge. On July 30, join us for an exclusive, half-day virtual summit that explores how autonomous AI agents and advanced analytics are enabling RIAs to deliver hyper-personalized financial advice at scale, streamline compliance, and elevate the client experience like never before.

https://www.financial-planning.com/video/ai-summit-virtual-2025/building-an-ai-tech-stack-that-works-for-you-and-your-clients-closing-remarks

Building an AI Tech Stack That Works for You and Your Clients & Closing Remarks
July 30, 2025

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There's no debate that agentic AI has the potential to profoundly impact how financial advisors and wealth managers acquire, retain and deepen engagement with clients. What's often overlooked in the what-if scenario planning of the agentic AI era? Building an AI tech stack that works for financial advisors and their clients. In this panel discussion, industry experts will talk about why it's critical to align technology with specific workflows, compliance requirements and personalization objectives. As the talk on use cases heats up, here's what our panelists say that industry players need to consider in building their AI tech stack:

Identify business goals and use cases first, including client engagement (personalized recommendations, behavioral insights, automated reporting), advisor productivity (intelligent CRM, smart task prioritization, etc.), compliance and risk (KYC/AML monitoring and trade surveillance), and portfolio management (dynamic rebalancing, AI-driven allocation, tax optimization).

Core components of the AI tech stack, including the data layer (data sources, integration tools, warehouse or lake/lakehouse), intelligence layer (machine learning/AI models, agentic AI and model ops), and application layer (client-facing tools, advisor dashboards, conversational interfaces).

Security, compliance and ethics, including data privacy, regulatory compliance (SEC/FINRA, GDPR/CCPA adherence in data handling), explainability and bias mitigation.

Integration and interoperability, including open APIs to connect with wealth platforms, workflow compatibility, and third-party plug-ins.

Governance and monitoring, including model governance, performance monitoring and human-in-the-loop needs for higher risk recommendations or compliance review.

Testing and feedback loops, including advisor feedback, client insights on usage, satisfaction and conversion improvements, and testing for UI/UX and model performance pre-rollout.

Scalability and future-proofing your tech stack with a cloud-native architecture, modular stack and the ability to plug into large language models (LLMs) and multi-agent frameworks as the field evolves.

(I hosted this session and the panelists were Parker Ence, co-founder and CEO of Jump Advisor AI; Doug Fritz, co-founder and executive chairman of F2 Strategy; Dr. Sindhu Joseph, founder and CEO of Cognicor; Oleg Tishkevich, CEO of Invent; and Timothy Welsh, president of Nexus Strategy.)